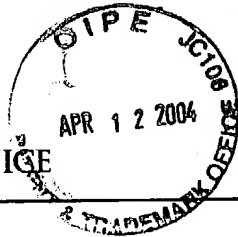




UNITED STATES  
PATENT AND  
TRADEMARK OFFICE



3012.004USU  
PDG/VER

DECEMBER 19, 2001

PTAS

Under Secretary of Commerce For Intellectual Property and  
Director of the United States Patent and Trademark Office  
Washington, DC 20231  
www.uspto.gov

OHLANDT, GREELEY ET AL  
PAUL D. GREELEY, ESQ.  
ONE LANDMARK SQUARE, 10TH FLOOR  
STAMFORD, CT 06901-2682



\*101877014A\*

UNITED STATES PATENT AND TRADEMARK OFFICE  
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF  
THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS  
AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER  
REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE  
INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA  
PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD  
FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY  
CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723.  
PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE,  
ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY,  
SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 10/11/2001

REEL/FRAME: 012246/0112  
NUMBER OF PAGES: 2

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:  
SCHROIFF, KLAUS

DOC DATE: 08/13/2001

ASSIGNOR:  
GEMSJAEGER, PETER

DOC DATE: 07/27/2001

ASSIGNOR:  
BOLIK, CHRISTIAN

DOC DATE: 10/05/2001

ASSIGNEE:  
INTERNATIONAL BUSINESS MACHINES  
CORPORATION  
OLD ORCHARD ROAD  
ARMONK, NEW YORK 10504

SERIAL NUMBER: 09883113  
PATENT NUMBER:

FILING DATE: 06/15/2001  
ISSUE DATE:

RECEIVED

MAY 10 2004

Technology Center 2100

RECEIVED

DEC 26 2001

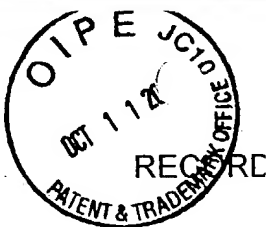
BEST AVAILABLE COPY

OHLANDT, GREELEY,  
RUGGIERO & PERLE, LLP

012246/C112 PAGE 2

STEVEN POST, EXAMINER  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS

BEST AVAILABLE COPY



10-18-2001



101877014

10-11-01

TO THE HONORABLE COMMISSIONER OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

Please record the attached original documents or copies thereof.

1. Name of conveying party(ies):  
**KLAUS SCHROIFF, PETER GEMSJAEGER AND CHRISTIAN BOLIK**

2. Name and address of receiving party(ies):  
**INTERNATIONAL BUSINESS MACHINES CORPORATION  
OLD ORCHARD ROAD  
ARMONK, NY 10504**

3. Nature of conveyance:  
XXXXX Assignment \_\_\_\_\_ Merger  
\_\_\_\_\_ Security Agreement \_\_\_\_\_ Change of Name  
\_\_\_\_\_ Other: \_\_\_\_\_

Execution Date: **JULY 27, 2001, AUGUST 13, 2001 AND OCTOBER 5, 2001**

4. Application number(s) or application date(s):  
If this document is being filed together with a new application, the execution date of the application is:

A. Application No. B. Application Date  
**09/883,443** **JUNE 15, 2001**

5. Name and address of party to whom correspondence concerning this document should be mailed:

Paul D. Greeley, Esq.  
Ohlandt, Greeley, Ruggiero & Perle, L.L.P.  
One Landmark Square, 10<sup>th</sup> Floor  
Stamford, Connecticut 06901-2682 U.S.A.

**RECEIVED**

MAY 10 2004

Technology Center 2100

6. Total No. of applications and patents involved: 1

7. Total Fee (37 C.F.R. 3.41(h)) \$40.00/assignment.

XXXXX Enclosed  
\_\_\_\_\_ Authorized to be charged to deposit account.

The Commissioner is hereby authorized to charge any additional fees under 37 C.F.R. 3.41 that may be required with this communication or credit any overpayment, to Deposit Account No. 01-0467. A duplicate copy of this Form is enclosed.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Paul D. Greeley

Name of Person Signing

Total number of pages including cover sheet, attachments and document: 3

*Paul D. Greeley*  
Signature

10/09/01

Date

**BEST AVAILABLE COPY**

10/15/2001 KZENBIE 00000056 09883113

40.00 OF

01 FC:561

**ASSIGNMENT**

Whereas, we

(1) INVENTOR: **KLAUS SCHROIFF**  
Krewinkeler Str. 35  
Stolberg, Federal Republic of Germany D-52224  
Citizenship: Germany

(2) INVENTOR: **PETER GEMSJAEGER**  
Waldstrasse 9  
Stromberg, Federal Republic of Germany D-55442  
Citizenship: Germany

(3) INVENTOR: **CHRISTIAN BOLIK**  
Feldbergstr. 1  
Mainz, Federal Republic of Germany D-55118  
Citizenship: Germany

have invented certain improvements in

TITLE: **CASCADING FAILOVER OF A DATA MANAGEMENT  
APPLICATION FOR SHARED DISK FILE SYSTEMS IN LOOSELY  
COUPLED NODE CLUSTERS**

filed on June 15, 2001 and received U.S. Serial No. 09/883,113

DATE  
DECLARATION  
SIGNED

and executed a United States patent application  
therefore on:

(1) Concurrently Herewith  
(2) Concurrently Herewith  
(3) Concurrently Herewith

Whereas, **INTERNATIONAL BUSINESS MACHINES CORPORATION**, a corporation of  
New York, having a place of business at Armonk, New York 10504 (hereinafter called

IBM), desires to acquire the entire right, title and interest in the said application and invention, and to any United States and foreign patents to be obtained therefor;

Now therefore, for a valuable consideration, receipt whereof is hereby acknowledged, we, the above named, hereby sell, assign, and transfer to IBM, its successors and assigns, the entire right, title and interest in the said application and invention therein disclosed for the United States and foreign countries, and all rights of priority resulting from the filing of said United States application, and we request the Commissioner of Patents to issue any Letters Patent granted upon the inventions set forth in said application to IBM its successors and assigns; and we hereby agree that IBM may apply for foreign Letters Patent on said invention and we will execute all papers necessary in connection with the United States and foreign applications when called upon to do so by IBM.

(1)  
CITY

at Stolberg

Klaus Schroiff  
Klaus Schroiff

Date

on 08/13/, 2001

(2)  
CITY

at Mainz

Peter Gernsjaeger  
Peter Gernsjaeger

Date

on 07/27/, 2001

(3)  
CITY

at San Jose

Christian Bolik  
Christian Bolik

Date

on 10/5/, 2001